Arizona Department of Transportation Product Evaluation Program Guidelines

Effective Date: January 1, 2016

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LETTER TO USERS

The ADOT Performance Management and Research group of the Multimodal Planning Division presents terms and administration practices regarding the product evaluation process in these Product Evaluation Program guidelines.

Each product evaluation follows a series of steps. This systematic approach has been created to ensure fair and consistent results. ADOT has two product evaluation committees (PEC) responsible for coordinating the evaluation of new products within the parameters of its operations. PECs have the authority to make changes to the Approved Products List (APL).

The APL is to serve as a guide to what products are acceptable for use during construction on all ADOT or Certification Acceptance administered projects. The APL simply documents that the listed products have been tested, evaluated, or examined under ADOT standards, and have been found acceptable for use in ADOT projects. Please refer to section 106.14 of the Arizona Department of Transportation 2008 Standard Specifications for Road and Bridge Construction, for a more detailed description of APL use. Also, you may need to refer to the following useful resources:

- ADOT Stored Specifications
- ADOT Materials Manuals
- ADOT Traffic Engineering Standards
- ADOT Roadway Engineering Standards
- ADOT Erosion and Pollution Control Manual
- Delineator/Marker Prequalification Process
- ADOT DWD Guidelines
- AASHTO National Transportation Product Evaluation Program (NTPEP)
- AASHTO Product Evaluation List

These guidelines are written primarily for the ADOT staff that implements or needs more insight of the Product Evaluation Program. Please consult with staff of the ADOT Product Evaluation Program for clarification of topics used in this document.

Sincerely,

Jean A. Nehme

Jean Nehme, Ph.D., P.E.

1.1 PURPOSE

The purpose of these guidelines is to delineate responsibilities and procedures for the evaluation and approval of products used in association with Arizona Department of Transportation (ADOT) roadways.

1.2 SCOPE

These guidelines apply to ADOT employees involved with selecting, evaluating, using or specifying the use of products for application in association with ADOT roadways.

1.3 BACKGROUND

1. The ADOT Product Evaluation Program is conducted under the sponsorship of the Federal Highway Administration (FHWA) through the Highway Planning and Research Program. The Product Evaluation Program is established within the State Planning and Research Program. The Product Evaluation Program coordinates the review and acceptance of products for possible use by ADOT and maintains the Approved Products List (APL).

2. The APL is to serve as a guide to what products are acceptable for use during construction on all ADOT or Certification Acceptance administered projects. If a product does not fit into a designated category (even if it has an ADOT specification) it will not be listed on the APL. In most cases, the APL does not address products that are to be used only on a temporary basis such as flagging systems, temporary barrier and other items associated with work zones or temporary activities.

1.4 DEFINITIONS AND ACRONYMS

Approved Products List (APL)	A list of construction products which have been approved for ADOT roadway potential use.
Certification Acceptance	Through ADOT's Certification Acceptance Program, ADOT can permit certified Local Public Agencies to independently administer most project activities, with ADOT oversight.
Lead Evaluator	The person, sub-committee, or team that reviews a product application and makes a recommendation whether or not to include it on the APL.
MatPEC	Materials Product Evaluation Committee

New Product

Any product submitted for approval that is not on the APL at the time of its submittal and has not been previously evaluated.

NTPEP

The National Transportation Product Evaluation Program operated by the American Association of State Highway and Transportation Officials. It conducts product evaluation tests throughout the country.

PEC

Product Evaluation Committee

SDS

Safety Data Sheet

TCPEC

Traffic Control Product Evaluation Committee

1.5 PRODUCT EVALUATION COMMITTEES

1. Two Product Evaluation Committees (PECs) are established, the Traffic Control Product Evaluation Committee (TCPEC) and the Materials Product Evaluation Committee (MatPEC). The PECs are responsible for coordinating the evaluation of products within the parameters of these guidelines. The PECs are responsible for coordinating the introduction of new, cost effective products and technologies to ADOT. The PEC chairpersons shall be responsible for resolving issues within their respective PECs and coordinating the resolution of issues that include both PECs.

2. The TCPEC has the authority to approve or disapprove all traffic control products for addition to the APL or to remove traffic control products from the APL that are no longer acceptable or beneficial to ADOT.

3. The TCPEC is typically chaired by the Assistant State Engineer, Traffic Group. However, the chairperson position may be rotated among ADOT TCPEC members. The chairperson shall determine the membership of the TCPEC, subject to the conditions of this paragraph. The chairperson may consult with other TCPEC members regarding individuals or organizations to include in the TCPEC. Members shall include at least seven ADOT employees and may also include up to four additional individuals from outside organizations. Only ADOT employees will be voting members of the TCPEC. At least one ADOT employee representing construction and one representing maintenance shall be included on the TCPEC.

The outside members may be added at the discretion of the TCPEC and may include, but are not limited to, local government, university, and construction contractor representatives. Committee members, ADOT support staff, and lead evaluators may attend the TCPEC meeting; however, the committee may invite outside parties to attend the meetings, as appropriate. Outside parties may be invited to attend on a standing basis. The total number of TCPEC members shall be determined by the TCPEC chairperson.

The following organizations may be invited to nominate members to the TCPEC.

a) FHWA – one member maximum

b) American Traffic Safety Services Association (ATSSA) – one member maximum

c) Ad hoc members – two members maximum

4. The MatPEC has the authority to approve or disapprove materials products for addition to the APL or to remove materials products from the APL that are no longer acceptable or beneficial to ADOT.

5. The MatPEC is typically chaired by the Assistant State Engineer, Construction-Materials Group. However, the chairperson position may be rotated among ADOT MatPEC members. The chairperson shall determine the membership of the MatPEC, subject to the conditions of this paragraph. The chairperson may consult with other MatPEC members regarding individuals or organizations to include in the MatPEC. Members shall include at least seven ADOT employees and may also include up to four additional individuals from outside organizations. Only ADOT employees will be voting members of the MatPEC. At least one ADOT employee representing construction and one representing maintenance shall be included on the MatPEC.

The outside members may be added at the discretion of the MatPEC and may include, but are not limited to, local government, university, and construction contractor representatives. Committee members, ADOT support staff, and lead evaluators may attend the MatPEC meeting; however, the committee may invite outside parties to attend the meetings, as appropriate. Outside parties may be invited to attend on a standing basis. The total number of MatPEC members shall be determined by the MatPEC chairperson.

The following organizations may be invited to nominate members to the MatPEC.

a) FHWA – one member maximum

b) Ad hoc members – three members maximum

6. The Product Evaluation Program manager will organize and provide administrative support for the PEC meetings.

7. Quorum for the PECs shall consist of at least 5 of the voting members. A simple majority of the voting members present will decide votes.

8. Establishment of Subcommittees: Subcommittees can be formed by the PECs to review specialty issues and products. Sub-committees will be headed by a member of the PEC. The subcommittees shall report all their findings and recommendations to the originating PEC for decision.

1.6 APPROVED PRODUCTS LIST (APL)

The Product Evaluation Program manager will maintain the APL. As necessary, the Product Evaluation Program manager will make revisions to the APL including the addition, deletion or modification of categories.

1.7 PRODUCT EVALUATION APPLICATIONS

1. The format of the product evaluation application shall be developed and updated by the Product Evaluation Program manager. Procedures for submitting a product evaluation application shall be developed and maintained by the Product Evaluation Program manager.

2. The product evaluation application shall contain directions to the applicant explaining how to identify proprietary information so that it may be redacted in the case of a public information request. The vendor/manufacturer will only be contacted with questions/concerns regarding the content of the proprietary information identified when a public information request is received. In general, only proprietary information that is identified in the application process will be withheld from public information requests; however, for products that were submitted prior to the effective date of this guideline revision, the redaction of proprietary information shall be performed in coordination with ADOT Risk Management.

3. The product evaluation application will be posted on the APL webpage with the appropriate instructions.

1.8 EVALUATION PROCESS

1. All applications will undergo a prescreening to determine if the submission is complete. A copy of the product's SDS will be forwarded to ADOT Safety and Risk Management for review and approval. If the application is complete the product will be issued a product identification number, stored in the database, and evaluated. If the application is incomplete it will be rejected, the vendor will be notified of the deficiency, and vendor will need to reapply.

2. The lead evaluator(s) will review the product application, verify the product meets applicable drawings and/or specifications and coordinate with the Product Evaluation Program manager if additional information is needed. If additional product information is requested, the information should be received within 30 days. If a response is not received within 30 days, the product will be canceled from further evaluation and the Product Evaluation Program manager will notify the applicant that the product evaluation has been cancelled and no further action will be taken.

3. If the product does not fit into a category or sub-category on the APL, the lead evaluator(s) may review the application and supplementary information on a case-by-case basis. Not all products used by ADOT are listed on the APL. Non-APL products may be used on construction projects, if approved by the ADOT engineer responsible for the project.

   A non-APL notice may be sent to the applicant for the following reasons:

   a) The product is a temporary traffic control device and the product type does not fit into an APL category or subcategory.

   b) The product meets an ADOT specification or drawing but no APL category or subcategory exists.

   c) The product is not construction-related and the product type does not fit into an APL category or subcategory.

   d) An ADOT specification or drawing does not exist for the product.

4. Upon completion of an initial evaluation, the product application will be scheduled for discussion at a meeting of the appropriate PEC. PEC meetings will typically be held quarterly. The PEC may then vote on the acceptability of the product or request further evaluation. If further evaluation is required, the process will continue until the PEC makes a final decision on the application.

5. The Product Evaluation Program manager will notify the applicant of the PEC's decision and will enter the decision into the database.

1.9 TESTING

1. For products that require laboratory testing, the testing may be performed at a vendor laboratory or by an independent testing laboratory. Test results shall be documented in a report signed by the laboratory manager or a state-licensed Professional Engineer. If the report is signed by the laboratory manager, that person's credentials should be provided with the report.

2. If ADOT specifications require field testing of the product, it will be undertaken by ADOT's product evaluation program. The product manufacturer and/or distributor are responsible for all costs associated with providing product samples and support of testing. National Transportation Product Evaluation Program test data or test data from other State Departments of Transportation may be accepted for evaluation in lieu of ADOT field testing at the discretion of the appropriate PEC.

1.10 APPLICANT NOTIFICATION

The Product Evaluation Program manager will notify the applicant regarding the PEC's decision. When a product is approved, the notice to the applicant will contain the approval date and the date the product requires recertification (usually five years from approval date). If a product is rejected, the applicant will receive a notice with the reason(s) the product was not approved.

1.11 REQUEST FOR RECONSIDERATION OF A COMMITTEE DECISION

1. A request for the reconsideration of a committee decision must be received in writing by the Product Evaluation Program manager within 60 days from the notification date. The request will be reviewed by the PEC, who will vote to approve or deny it. At a minimum, the request shall include:

   a) The name, address and telephone number of the applicant.

   b) The applicant's signature.

   c) Name of the product and product evaluation program identification number.

   d) Detailed statement of facts with supporting documentation specifically addressing the reason for the request.

e) The form of relief suggested.

2. All correspondence shall be addressed to the Product Evaluation Program manager. The program manager will review the requests submitted for completeness. Complete requests received by the program manager within the stated 60-calendar-day limit will be presented to the PECs for a ruling at the next PEC meeting. After consideration of all facts presented by the applicant and the responsible PEC, the PEC may select one or more of the following resolutions:

a) Require a new test or evaluation by ADOT.
b) Require a new test or evaluation by an independent testing laboratory paid for by the vendor/manufacturer.

c) Add the subject product to the APL.

d) Deny the request.

3. Products that are rejected from the APL may only be resubmitted if the applicant can demonstrate that there are changes to the product or to the manufacturing process that would result in the product meeting ADOT's requirements.

1.12 PRODUCT RECERTIFICATION PROCESS

1. The Product Evaluation Program manager shall receive timely updates to contact information or of modifications to the product from the vendor/manufacturer. Changes to company name or contact information are recorded in the APL database and in the APL.

2. Recertification entails verification from the applicant that the listed product is still manufactured as approved. When a product reaches its recertification date, five years after initial approval, a notice is sent to the manufacturer. A response stating that the product is still offered for sale under the same trade name and manufactured to the same specifications it was approved under must be received within 60 days in order to ensure the product certification will be renewed for five years on the APL. If there is no response within 60 days or the notification is returned, the Product Evaluation Program manager will determine if a product should be deleted from the APL. The final action is recorded in the APL database.

1.13 REMOVAL OF PRODUCTS

1. Products may be removed from the APL for the following reasons:

   a) ADOT changes the specifications and/or the standard drawings and the product no longer meets the specifications/drawings.

   b) The vendor fails to satisfactorily respond to or meet the recertification requirements specified in Section 1.12.

   c) The product is deemed to have failed in the field as determined by the appropriate PEC.

   d) A category or subcategory is eliminated because it is deemed obsolete or not used.

   e) The product is no longer manufactured or the vendor requests removal.

2. Products that have been removed from the APL may only be resubmitted for evaluation if the vendor can demonstrate that there are changes to the product or to the manufacturing process that would result in the product meeting ADOT requirements.

1.14 RECORDS RETENTION POLICY

Paper and electronic records associated with the APL will be maintained in accordance with the product evaluation schedule found in ADOT's records retention policy MGT-9.09 . Discarded documents will be shredded to protect confidentiality.